

07/26/01

7-27-01

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**Attorney Docket No.: **1693 (4000-05000)**First Inventor or Application Identifier **H. Winnfred Smith**Title **Process For Managing Change Within An Enterprise**Express Mail Label No. **EL 921453845 US**

Only for new nonprovisional applications under 37 CFR 1.53(b)

**I. APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form (e.g. PTO/SB17)**  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See (Submit an original, and a duplicate for fee processing)
3. ☒ **Specification** [Total Pages]: **27**  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claims(s)  
- Abstract of the Disclosure
4. ☒ **Drawing(s)** (35 USC 113) Total Sheets: **9**
5. ☒ **Oath or Declaration** Total Pages: **2**  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ **Application Data Sheet.** See 37 CFR 1.76

**ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. ☐ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies)
- ACCOMPANYING APPLICATION PARTS**
9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C. FR 3.73(b) Statement [ ] Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449  
☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_


Prior application information: Examiner: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19 CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) **21396** or ☒ Correspondence address below

NAME	Steven J. Funk				
ADDRESS	Sprint Law Department				
	8140 Ward Parkway				
CITY	Kansas City	STATE	Missouri	ZIP CODE	64114
COUNTRY	USA	TELEPHONE	913-624-6828	FAX	913-624-6388
Name (Print Type)	Rodney B. Carroll			Registration No. (Attorney/Agent)	39,624
Signature				Date:	July 26, 2001

# FEE TRANSMITTAL FY 2000

Patent fees are subject to annual revision.

## Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	H. Winnfred Smith
Group Art Unit	Not Yet Known
Examiner Name	Not Yet Known

TOTAL AMOUNT OF PAYMENT (\$)**984.00**

Attorney Docket Number **1693 (4000-05000)**

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account No.: 21-0765

Deposit Account Name: Sprint

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$710.00
106	320	206	160	Design filing fee	\$
107	490	207	245	Plant filing fee	\$
108	710	208	355	Reissue filing fee	\$
114	150	214	75	Provisional filing fee	\$

**SUBTOTAL (1) \$710.00**

### EXTRA CLAIM FEES

Total Claims	33 - 20 =	13	Extra	below	Fee Paid
Independent Claims	3 - 3 =	0			\$ 0.00
Multiple Dependent					270.00 = \$

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

**SUB TOTAL (2) \$ 234.00**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$
139	130	139	130	Non-English specification	\$
147	2,520	147	2,520	For filing a request for reexamination	\$
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	\$
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	\$
115	110	215	55	Extension for reply within 1st month	\$
116	390	216	195	Extension for reply within 2nd month	\$
117	890	217	445	Extension to reply within 3rd month	\$
118	1,390	218	695	Extension to reply within 4th month	\$
128	1,890	228	945	Extension to reply within 5th month	\$
119	310	219	155	Notice of Appeal	\$
120	310	220	155	Filing a brief in support of an appeal	\$
121	270	221	135	Request for oral hearing	\$
138	1,510	138	1,510	Petition to institute a public use proceeding	\$
140	110	240	55	Petition to revive - unavoidable	\$
141	1,240	241	620	Petition to revive - unintentional	\$
142	1,210	242	605	Utility issue fee (or reissue)	\$
143	440	243	220	Design issue fee	\$
144	600	244	300	Plant issue fee	\$
122	130	122	130	Petitions to the Commissioner	\$
123	50	123	50	Petitions related to provisional apps.	\$
126	180	126	180	Submission of Information Dis. Stmt.	\$
581	40	581	40	Recording each patent assignment per property (times number of properties)	\$40
146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))	\$
149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))	\$
Other fee (specify) _____					\$
Other fee (specify) _____					\$

\*Reduced by Basic Filing Fee Paid **SUBTOTAL (3) \$ 40.00**

## SUBMITTED BY

## Complete (if applicable)

Typed or Printed Name Rodney B. Carroll

Registration Number 39,624

Signature

Date July 26, 2001

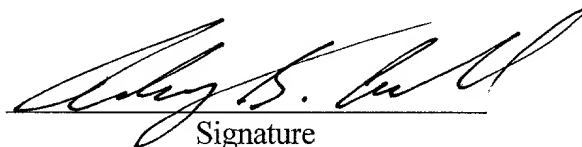
Deposit Account User ID

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor :	<b>H. Winnfred Smith</b>
	Title:	<b>Process For Managing Change Within An Enterprise</b>
	Attorney Docket Number	<b>1693 (4000-05000)</b>
	Express Mail Label No.	<b>EL 921453845 US</b>

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

7-26-01

Date



Signature

Rodney B. Carroll

Registration Number 39,624

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**